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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/749,938	12/29/2000	Donald Brent Marshall	56130.000043	6808

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EXAMINER	
INGBERG, TODD D	

ART UNIT	PAPER NUMBER
2124	5

DATE MAILED: 01/09/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No.	Applicant(s)	
	09/749,938	MARSHALL ET AL.	
	Examiner	Art Unit	
	Todd Ingberg	2124	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *02 January 2001*.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-46* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-46* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on *3/6/2001* is/are: a)☐ accepted or b)☒ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. §§ 119 and 120

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____.

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

13)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

a) ☐ The translation of the foreign language provisional application has been received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____.
4) ☐ Interview Summary (PTO-413) Paper No(s). _____.
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: .

DETAILED ACTION

Claims 1 – 46 have been examined.

A preliminary amendment was received on January 2, 2001 and has been entered.

Drawings

1. The drawings submitted on March 6, 2001 were received. The drawing are objected to by the PTO Draftsperson as indicated on PTO-948. Corrections to drawings are required.

Specification

2. The preliminary amendment appears to have an error. The application titled "System and Method for Managing a Component-Based System" was not located in the PALM system. The following applications were located: 09/749,937 – "Method and System for Distributing Functionality", 09/750,303 – "Method and System for Integrated Resource Management", and 09/750,305 – "System and Method for Managing Dependencies in a Component-Based System".

3. Another Preliminary amendment placing these serial numbers in front of the respective applications and correcting the missing information identified above needs to be made.

4. A new title with out the terms "System and method" is needed.

Claim Rejections - 35 USC § 102

> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

1. Claims 1 – 46 are rejected under 35 U.S.C. 102(b) based upon a public use or sale of the invention. Template Software Corporation's commercial product "SNAP 8.0", released in 1997.

2. Template Software. The Template product line is object oriented and contains the SNAP programming language and the Workflow Template (WFT). The documentation sets for the products contain the following manuals.

SNAP released June 1997

SNAP Language Reference (Not used in this Office Action)

Using the SNAP Language (Not used in this Office Action)

Using the SNAP Communication Component (Not used in this Office Action)

Using the SNAP Graphic User Interface Component (Not used in this Office Action)

Getting Started with SNAP (Not used in this Office Action)

Using the SNAP Display Editors (Not used in this Office Action)

SNAP Class Library Reference (Not used in this Office Action)

Using the SNAP External Application Software Component (Not used in this Office Action)

Using the SNAP Development Environment (Referred to as **SNAP**)

SNAP Module Library Reference (Not used in this Office Action)

Using the SNAP Permanent Storage Component(Not used in this Office Action)

Workflow released September 1997

Developing a WFT Workflow System (Not used in this Office Action)

Using the WFT Development Environment (Not used in this section of the Office Action)

WFT Library Reference (Not used in this Office Action)

Since, these products work together they constitute a single reference and can be used as the basis for a rejection based on anticipated by a product offering.

Claim 1

Template anticipates a system for providing an application component where the application component enables a service to be managed as an independent entity comprising (Template in the **SNAP** manual, Chapters 5 and 6, cover the building of Shared Information Base (SIB) connectors and the many different schemas – the building of the SIB is on page 5-23 is part of the object oriented development environment. The SIB connection is on pages 5-17 - 5-23 setting up a SIB and/or setting up schemas): a context for containing logic and data associated with a service session; a facade for containing context-independent service logic wherein the facade is not associated with the service session (the facade is the ability to create a object oriented template that is instantiated when SIB connection is made and further supported by the ability to make many different views with schemas); and an event portal for providing entry and exit interfaces. (Template in the **SNAP** manual, Chapters 5 and 6, cover the building of Shared Information Base (SIB) connectors and the many different schemas – the building of the SIB is on page 5-23 is part of the object oriented development environment. The SIB connection is on pages 5-17 - 5-23 and disconnect SIB connection adapter page 5-3 also the defining is on page 5-4 and the connection process on page 5-5, – Also relevant is the mapping of the schema to the application as taught in chapter 6 – note the different schemas are not tied to a specific entry but reflect the view the application has to the database).

Claim 2

The system of claim 1 further comprising management logic for defining operations, administration and management behavior. (SNAP, on page 5-3 the terms are defined – page 5-6 the basic built in functions).

Claim 3

The system of claim 1 further comprising management logic for defining appearance of the application component (SNAP, page 5-8, SIB Connector Editor).

Claim 4

The system of claim 1 further comprising a wiring tool to configure a connection between the event portal of the application component to another event portal of a second application component. (SNAP, page 5-19, Import and Export maps).

Claim 5

The system of: claim 4 wherein the wiring tool connects one or more outgoing events from the event portal to one or more incoming events of an event portal associated with the entity. SNAP, Chapters 5 and 6 Introductions, SIB and schema editors ability to communicate to databases via SIB).

Claim 6

The system of: claim 4 wherein the wiring tool provides the ability to create service variants by modifying connections between application components (SNAP, pages 5-23 renaming connections, page 5-17, changing communications specific information and page 5-10 local name).

Claim 7

The system of claim 4 wherein the connection does not require hardcoding thereby enhancing flexibility in changing connections. (SNAP, page 5-8, SIB editor parameter environment).

Claim 8

The system of claim 4 wherein wiring definitions are uploaded to a service execution engine wherein the service execution engine creates the connection. (SNAP, SIB executing by definition working with schema).

Claim 9

The system of claim 1 wherein the application component is network independent. SNAP, SIB, different SIB connectors are built in for different connectors. Application connection through SNAP to SIB page 5-2 Inter process Communications).

Claim 10

The system of claim 1 wherein the application component encapsulates protocol specific interactions and presents a homogenous interface to other components. (SNAP, SIB editor as per above).

Claim 11

The system of claim 1 wherein the application component is network independent and protocol independent. SNAP, protocol is at a different layer page 5-3 shows protocol as a parameter).

Claim 12

The system of claim 4 wherein the connection is postponed until after the application component is created. Interpreted as execution of SIB in object oriented environment the object control for SIB must be instantiated as per claim 8.

Claim 13

The system of claim 1 wherein the service comprises more than one application component where application components are developed by separate developers thereby enabling parallel development. (SNAP, pages 2-49 to 2-51 version control).

Claim 14

The system of claim 4 wherein runtime context event subscription is established dynamically based on static event subscription definition. (SNAP, page 6-24, filter function).

Claim 15

The system of claim 4 wherein contexts of different application components pertaining to a service session are maintained in a context envelope. (SNAP, SIB name connection as per above).

Claim 16

The system of claim 15 wherein the contexts are added dynamically to the context envelope as the contexts are invoked by service logic. (SNAP, page 6-24, filter function).

Claim 17

The system of claim 1 wherein one or more service variants are selected by the facade for each service session. As per claim 17.

Claim 18

The system of claim 17 wherein the application component contains a single template which executes by default. (SNAP, defining only 1 SIB connector).

Claim 19

The system of claim 1 wherein the application component incorporates one or more of data storage schemas, variables, constants and configuration items. (SNAP, chapter 6, page 6-2 to 6-5 Schema Editor)

Claim 20

The system of claim 19 wherein the one or more of data storage schemas, variables, constants and configuration items are exported from the application component. (SNAP, as per claim 19, pages 6-7 to 6-13).

Claim 21

The system of claim 19 wherein the one or more of data storage schemas, variables, constants and configuration items are imported by the application component. As per claims 19 and 20.

Claim 22

The system of claim 20 wherein a wiring tool connects an exported item from the application component with an imported item in another application component. (SNAP, pages 6-19 and 6-20, filter callback).

Claim 23

The system of claim 1 wherein one or more protocol specific interactions are encapsulated to present a homogenous interface to other one or more application components. (SNAP, pages 6-14 to 6-15, storing log on info).

Claim 24

Template anticipates a method for providing an application component where the application component enables a service to be managed as an independent entity comprising the steps of:: maintaining logic and data associated with the service in a context; maintaining context - independent service logic in a facade wherein the facade is not associated with the service; and providing entry and exit interfaces. See the rejection for claim 1.

Claim 25

The method of claim 24 further comprising the step of enabling management logic to define operations, administration and management behavior. See the rejection for claim 2.

Claim 26

The method of claim 24 further comprising the step of enabling management logic to defining appearance of the application component. See the rejection for claim 3.

Claim 27

The method of claim 24 further comprising the step of providing a wiring tool to configure a connection between the event portal of the application component to another event portal of a second application component. See the rejection for claim 4.

Claim 28

The method of claim 27 wherein the wiring tool connects one or more outgoing events from the event portal to one or more incoming events of an event portal associated with the entity. See the rejection for claim 5.

Claim 29

The method of claim 27 wherein the wiring tool provides the ability to create service variants by modifying connections between application components. See the rejection for claim 6.

Claim 30

The method of claim 27 wherein the connection does not require hardcoding thereby enhancing flexibility in changing connections. See the rejection for claim 7.

Claim 31

The method of claim 27 wherein wiring definitions are uploaded to a service execution engine wherein the service execution engine creates the connection. See the rejection for claim 8.

Claim 32

The method of claim 24 wherein the application component is network independent. See the rejection for claim 9.

Claim 33

The method of claim 24 wherein the application component encapsulates protocol specific interactions and presents a homogenous interface to other components. See the rejection for claim 10.

Claim 34

The method of claim 24 wherein the application component is network independent and protocol independent. See the rejection for claim 11.

Claim 35

The method of claim 27 wherein the connection is postponed until after the application component is created. See the rejection for claim 12.

Claim 36

The method of claim 24 wherein the service comprises more than one application component where application components are developed by separate developers thereby enabling parallel development. See the rejection for claim 13.

Claim 37

The method of claim 27 wherein runtime context event subscription is established dynamically based on static event subscription definition. See the rejection for claim 14.

Claim 38

The method of claim 27 wherein contexts of different application components pertaining to a service session are maintained in a context envelope. See the rejection for claim 15.

Claim 39

The method of claim 38 wherein the contexts are added dynamically to the context envelope as the contexts are invoked by service logic. See the rejection for claim 16.

Claim 40

The method of claim 24 wherein one or more service variants are selected by the facade for each service session. See the rejection for claim 17.

Claim 41

The method of claim 40 wherein the application component contains a single template which executes by default. See the rejection for claim 18.

Claim 42

The method of claim 24 wherein the application component incorporates one or more of data storage schemas, variables, constants and configuration items. See the rejection for claim 19.

Claim 43

The method of claim 42 wherein the one or more of data storage schemas, variables, constants and configuration items are exported from the application component. See the rejection for claim 20.

Claim 44

The method of claim 42 wherein the one or more of data storage schemas, variables, constants and configuration items are imported by the application component. See the rejection for claim 21.

Claim 45

The method of claim 42 wherein a wiring tool connects an exported item from the application component with an imported item in another application component. See the rejection for claim 22.

Claim 46

The method of claim 24 wherein one or more protocol specific interactions are encapsulated to present a homogenous interface to other one or more application components. See the rejection for claim 23.

Correspondence Information

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to **Todd Ingberg** whose telephone number is (703) 305-9775. The examiner can normally be reached during the following hours:

Monday	Tuesday	Wednesday	Thursday	Friday
6:15 – 1:30	6:15- 3:45	6:15 – 4:45	6:15-3:45	6:15-130

This schedule began December 1, 2003 and is subject to change.

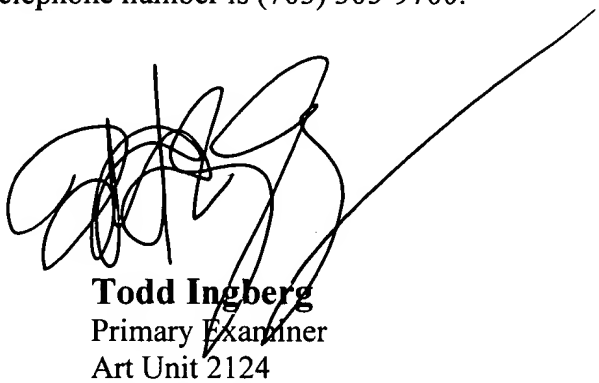
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, **Kakali Chaki** can be reached on (703) 305-9662. Please, note that as of August 4, 2003 the **FAX number** changed for the organization where this application or proceeding is assigned is **(703) 872-9306**.

Also, be advised the United States Patent Office **new address** is

Post Office Box 1450

Alexandria, Virginia 22313-1450

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-9700.



Todd Ingberg
Primary Examiner
Art Unit 2124
December 30, 2003